

DEPARTMENT OF
PUBLIC HEALTH AND HUMAN SERVICES



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TO: Margaret Thomas, CARE

FROM: Catherine Murphy, Quality Improvement Specialist

DATE: June 17, 2008

RE: Annual Quality Assurance Evaluation

Please allow me to present the Annual Quality Assurance Evaluation for CARE ending State Fiscal year 2008.

References and guidelines for this review are found in the Developmental Disabilities Program handbook titled "Quality Assurance Process for Adult and Group Home Services" dated July 1, 2007. This report is based on information gathered through an on-site review, desk review, and observations made through State Fiscal Years 07 and 08.

ADMINISTRATIVE

CARE (Community And Residential Enterprise), LLC is a for profit corporation providing Supported Living and Supported Employment services to adults with developmental disabilities in Region IV. Community Support services are provided to one consumer at this time. CARE is owned and operated by Margaret Thomas. Jim Thomas is CARE's Co-Director. Currently, in addition to Margaret, there is one full-time employee, and three part-time employees.

Significant events:

CARE began providing services to one individual in August of 2002. Currently Supported Living services are provided to seven individuals, Supported Employment to two individuals, and Community Supports services to one individual.

Policies & Administrative (DDP) Directives:

CARE has an extensive employee policy and procedure manual. Additionally, written policies and procedures for consumers include abuse, neglect and exploitation; consumer rights; incident

and behavioral concerns reporting, health and safety which also includes a medication protocol, and emergency training such as fires, natural disasters, or medical emergencies.

Licensing:

No licensing is required for the services provided by CARE. CARE has met the qualifications to be a Qualified Provider for Residential Habilitation and Support; and Supported Employment.

Accreditation:

It is not required by the State of Montana that service providers be accredited. CARE currently provides Supported Living, Supported Employment, Community Supports and related transportation services.

Agency Internal Communication Systems:

The Director maintains regular contact with consumers and CARE employees. Internal communication systems include written and verbal communication on a regular basis.

Fiscal:

There is no A133 Audit on file for the current fiscal year or for FY07. There have been no referrals to Medicaid Fraud or requests for a QAD review.

Appendix I:

All service to consumers receiving services is provided in accordance with the cost plan and IP team decision. Staffing ratio is 1:1 when staff is in attendance. On call service is provided 24 hours a day, 365 days a year.

RESIDENTIAL

Accomplishments:

CARE staff provide residential habilitation and supports for seven individuals. Margaret Thomas, the Director of CARE provides direct services to individuals, as do three part-time employees, including Jim Thomas who is the Co-Director of CARE. Many of the individuals receiving Supported Living services from CARE live in an apartment complex within one block from the home of Jim and Margaret Thomas. This makes for a very short response time, should an unexpected need arise that requires immediate on-site assistance. CARE is a family-oriented service provider, and has a history of working well with the families, advocates, and friends of the individuals to whom they provide support.

Programmatic Deficiencies:

None noted.

Corrections to Deficiencies:

None required.

HEALTH AND SAFETY

CARE does not own any vehicles dedicated solely for consumer transport. Consumers are transported primarily by contracted transportation services, community transportation systems, and by CARE staff in private vehicles. CARE does carry auto liability

insurance on staff-owned vehicles used to transport consumers in compliance with their contract with the Developmental Disabilities Program.

CARE currently provides Supported Living services to seven individuals. CARE has done a commendable job in assisting consumers with their individual health and safety needs.

CARE staff are certified by the State of Montana to assist consumers with medications and provide consumers with the level of assistance required by each individual, while facilitating independence. Each person's Individual Plan documents his/her level of independence and assistance required.

Consumers receiving Supported Living services from CARE live in their own apartments, many in an apartment complex within a block of the Director's home. Safety inspections and evacuation drills are conducted and documented on a monthly basis. CARE also has a monthly Safety Meeting to address any health and safety related concerns. In addition to this there is a natural disaster/emergency protocol in place in the event of such need.

Emergency back-up exists for all consumers receiving support from CARE. Crises or emergencies can be addressed 24 hours a day with by calling the main phone number. This is typically carried by the Director. If she is unavailable, or if the line is busy, the incoming call is automatically call-forwarded to the Assistant Director or designated employee. Since the home of the Director and Assistant Director is so near to the homes of the majority of CARE's consumers, staff can be on-site within a matter of moments.

SERVICE PLANNING AND DELIVERY

Individual Plans for five consumers were reviewed as part of the annual comprehensive evaluation. Each plan includes all required elements, includes evidence of team participation, and appears to address the needs and preferences of each consumer. Documentation is present verifying individual training and supports are provided by staff to assist individuals with identified objectives. This includes programmatic data in individual consumer files, and summary of progress in Quarterly Reports submitted to Case Managers.

Many CARE consumers regularly participate in community activities and preferred recreational and leisure pastimes. Preferences are identified by consumers with staff facilitating opportunities, as needed or requested.

There is currently one consumer served by CARE who has a rights restriction in place. Proper documentation exists to verify the need for the restriction. Criteria for the removal of the restriction is clearly identified, and supports and services are in place to facilitate the individual in learning the behaviors required to remove the restriction. Additionally, this individual's planning team meets quite frequently to address the behaviors that resulted in the needed restriction. Documentation indicates consumer

rights are reviewed with all individuals receiving services from CARE on at least an annual basis.

Medical and health care issues are identified and addressed in a timely manner by CARE staff. CARE staff have assisted several individuals in pursuing identified weight loss and healthier lifestyle goals. As noted earlier, staff assisting individuals with medications are certified by the State of Montana.

Emotionally responsible care giving is one area staff receive training in as part of their Orientation Training, and is one of the hallmarks of CARE services. CARE provides supported living services that are very individualized to the person and are very relationship oriented. This is consistently evidenced through observations and interactions with and on behalf of consumers.

STAFFING

The Director of CARE works personally with each consumer, directly trains all employees, and as specified in CARE policies and procedures is the primary contact person to whom any concerns or questions should be addressed. Currently CARE employs four employees in addition to the Director. All staff are very familiar with all consumers and routinely staff issues of concern.

Background checks and orientation training records were reviewed. In all cases background checks were free from any offenses that would cause concern in working with individuals with developmental disabilities.

In addition to basic orientation which includes provider policies, planning and service delivery process, abuse, neglect and exploitation, and incident reporting/management; employees also receive training specific to the individual (s) they are working with. Additionally, all CARE staff were enrolled in the DDP mandated College of Direct Supports (CDS). Each staff successfully completed all required lessons in Tier 1 of CDS training prior to the due date.

A Staff Survey was completed with three employees of CARE. Each responded with acceptable answers to questions regarding Abuse/Neglect Reporting, Client Rights, Behavior Support Plans & Protocols, Orientation Training, Assistance and Supervision of Medications, Behavior Interactions with Consumers, Emotionally Responsible Care giving, Individual Plans/Personal Support Plans, and Incident Reporting.

INCIDENT MANAGEMENT

As noted above, staff are trained to recognize situations of potential abuse, neglect or exploitation and have demonstrated knowledge to report such allegations to Adult Protective Services. There have been no allegations of abuse, neglect, or exploitation on behalf of consumers receiving services from CARE.

A specific time is designated for weekly Incident Management Committee meetings, however typically a high level of verbal and written communication occurs between CARE and DD Case Managers addressing consumer issues and developing concerns prior to actual incidents occurring. This strategy has been useful in keeping team members apprised of concerns and often addressing issues before incidents occur.

CARE has a very detailed incident management policy and procedure. Jim Thomas, the Co-Director of CARE has received training from the State of Montana on Critical Incident Investigations.

WORK/DAY/COMMUNITY EMPLOYMENT

Accomplishments:

Currently supported employment services are provided to two individuals who also receive residential services from CARE. Both individuals have part-time community jobs in the vocations of their choice, and are successful in their jobs with the supports they receive. Staff maintain routine contact with the community employers, and provide individuals with the level of supports needed to facilitate success in their jobs. Staff also maintain close contact with staff from other agencies who provide Work/Day services for consumers receiving Supported Living services from CARE.

Programmatic Deficiencies:

None Noted.

Corrections to Deficiencies:

None Required.

HEALTH AND SAFETY

No health and safety concerns specific to Community Employment issues have been noted. Individuals receiving supported employment services from CARE are assisted by the same staff that provide residential supports. Please refer to the residential section of this report for more information on the scope of services provided by CARE staff to assure the health and safety of individuals served.

SERVICE PLANNING AND DELIVERY

As in the residential section, Individual Plans and service plan documentation was reviewed as part of the quality assurance evaluation. As is stated above, the staff providing community employment supports are the same staff who assist consumers with necessary residential supports. Community employment service needs are addressed in each person's Individual Plan. Documentation is present verifying individual training and supports are provided by staff to assist individuals with identified objectives. This includes data in individual consumer files, and summary of progress in Quarterly Reports submitted to Case Managers.

STAFFING

Please refer to the corresponding section in the Residential Supports portion of this report.

INCIDENT MANAGEMENT

There have been no work-related incidents reported for individuals receiving Community Employments support services from CARE. For more information on Incident Management, please refer to the corresponding section in the Residential Supports portion of this report.

COMMUNITY SUPPORTS

Accomplishments:

One individual receives Community Supports from CARE at this time. The individual receiving this service lives in an apartment in town. Community Supports funds are used to provide assistance for this individual to participate in Social, leisure, and recreational opportunities in the community. Community Supports funds are also used for related transportation expenses. An individual who has recently returned to the Helena area and has Community Supports funding has selected CARE to provide services.

Programmatic Deficiencies:

There were no Programmatic Deficiencies related to Community Supports services noted in the previous evaluation.

Corrections to Deficiencies:

None required.

HEALTH AND SAFETY

CARE currently provides Community Support services to one individual. Health and safety is assured through natural supports of family, with additional support from the staff of CARE available when needed.

CARE does have staff that are certified by the State of Montana to assist individuals with developmental disabilities with their medications. The individual receiving Community Supports through CARE does not require assistance with medications at this time.

Emergency back-up exists for all consumers receiving support, including Community Support services, from CARE. Crises or emergencies can be addressed 24 hours a day with by calling the on-call/crisis phone. This is typically carried by the Director or Assistant Director, with a staff member designated as back-up.

SERVICE PLANNING AND DELIVERY

As is noted above, CARE provides Community Support services to one individual at this time. The Community Supports Agreement was reviewed as part of the information gathering process for the Quality Assurance Review.

The current Community Supports Agreement contains objectives to assist the individual in participating in social, leisure, and recreational activities in the community, and related transportation services. This is done on a regularly scheduled basis.

STAFFING

Hiring and orientation practices are the same as identified above in the Residential section of this report. This includes background checks and orientation which includes company policies, planning and service delivery process, abuse, neglect and exploitation, and incident reporting/management. Employees also receive training specific to the individual(s) they are working with.

INCIDENT MANAGEMENT

As noted above, staff are trained to recognize situations of potential abuse, neglect or exploitation and have demonstrated knowledge to report such allegations to Adult Protective Services. There have been no allegations of abuse, neglect, or exploitation related to the consumer receiving Community Supports services from CARE. Neither have there been any Reportable or Critical Incidents involving this individual.

A specific time is designated for weekly Incident Management Committee meetings. These meetings occur as needed to review incidents or discuss possible trends. More commonly, verbal and written communication occurs between CARE and DDP staff addressing consumer issues and developing concerns prior to actual incidents occurring.

CARE has a comprehensive Incident Management Policy developed, though due to consistent communication with family and the individual's case manager, most issues are recognized and addressed prior to actual incidents occurring.

CONCLUSION

During the on-site review, it was discovered that staff who were not properly certified were monitoring and assisting consumers with medications. The Director immediately identified a newly hired staff who is currently certified and appointed her to assist consumers with all medication needs. Certification to assist individuals with medications was promptly obtained by the Director and other staff of CARE.

CARE uses a very individualized approach to providing supported living and community employment services to individuals with developmental disabilities. Families and other natural and community supports are an integral part of providing quality care to service recipients. Services are tailored to meet the needs and goals of each individual serviced.

Submitted by,



Catherine A. Murphy,
Quality Improvement Specialist